STANDARDS AND TRAINING FOR CORRECTIONS POLICY AND PROCEDURES MANUAL FOR
Training Providers

I. INTRODUCTION

A. Standards and Training for Corrections (STC) Program

The mission of the Standards and Training for Corrections (STC) Program is to raise the level of competence of the State's local corrections and probation personnel. The Program accomplishes this by providing a course certification and delivery system, technical assistance, training, and support to local corrections and probation departments statewide.

Through research, planning, design and assessment, the STC Program assists local agencies in ensuring they select and train qualified people and maintain staff proficiency through job-related skills training. Counties and cities participate in the STC Program voluntarily. They agree to follow all Program regulations, policies and procedures.

From the time of program inception, through the 2002/2003 fiscal year, CSA provided subvention funds to aid counties and cities in meeting these standards. Subvention funds to assist local agencies with the cost of training were discontinued in the 2003/2004 fiscal year.

Prior to 2003/2004 local corrections departments routinely used State local assistance funds to pay tuition fees for STC certified courses. The STC certification process involved a thorough review of the proposed course costs by budget category and line item. Providers of STC certified training were required to adhere to STC allowances, policies and procedures with regard to the calculation of trainee tuition. The program operated in this fashion for two reasons:

- ♦ First, because State funds were being used to cover the cost, STC had a responsibility to ensure that the course was cost effective;

- ♦ Second, a thorough review of course costs by STC, coupled with an agreement by the training provider that they would adhere to STC policies and procedures with regard to tuition calculations eased the burden on local departments to negotiate course fees independently with each training provider.

Special information concerning approved course costs and tuition:

Because the State no longer offers financial assistance to local departments to pay for STC certified training, the STC Program now makes the fiscal review of certified courses optional for training providers.

1. If a provider opts to have the course budget and tuition approved by STC, the training provider will be required to submit course cost information as part of the request for certification. Further, the provider agrees to adhere to all STC policies and procedures regarding tuition calculation. In this case the course profile in STC's automated system will display a dollar amount. When a dollar amount is displayed, local agencies can assume that course costs have been thoroughly reviewed and approved by STC, and that the course is cost effective.

2. <u>If a provider does not wish to have the course budget and tuition approved by STC</u>, the training provider is not required to submit course cost information as part of the request for certification. In this case the provider and local corrections agency are free to negotiate whatever fees they feel are appropriate with regard to tuition. Under this circumstance, the provider is under no obligation to adhere to STC policies and procedures with regard to calculation of tuition. When the course costs and tuition have not been reviewed and approved by STC, the course profile will display an "N/A" as far as budget and tuition are concerned.

Throughout the balance of this manual, references to course costs and tuition assume option #1 above. If the provider is operating under option #2, references to allowable course costs and tuition calculation may be disregarded.

B. Purpose of the Manual

This manual is designed to assist training providers with the certification of their courses. It provides policies and procedures for course certification, information and forms necessary to apply for course certification, procedures for billing departments for training delivered, and procedures for collecting and maintaining information required by the STC Program. The goal of this manual is to help training providers deliver efficient, cost-effective, top quality training.

C. How to Use This Manual

This manual is divided into the following sections:

- ♦ **Sections 1, 2, and 3** deal with general information about the STC Program. They cover STC's purpose, the law under which the Program was established and the regulations that govern the Program's operation.

- ♦ **Section 4** provides a general overview of the STC certification process. It details the types of certifications available, tuition policies, information on course attendance, advertising, modification of certified courses, evaluation of courses, testing, monitoring, conflict of interest issues, and other pertinent information about certification process.

- ♦ **Sections 5 and 6** present the training provider with the "how-to's" of the certification procedures, information on how STC evaluates the certification request, and fiscal information about certifications.

- ♦ **Sections 7 and 8** provide information on computing costs and billing for courses.

- ♦ **Section 9** details the record keeping requirements for training providers.

- ♦ **Appendix A** contains a list of the most frequently requested documents and forms needed to implement the STC Program. Up-to-date versions of these forms are

directly available for download at the Corrections Standards Authority Website: www.csa.ca.gov. If you are unable to access the Website, or have difficulty downloading, contact the STC Program at (916) 445-5073 and a hard copy will be mailed to you.

♦ **Appendix B** contains a sample (optional) invoice for tuition.

The STC Program has a strong commitment to work closely with training providers and departments to promote the delivery of quality training. STC assigns every training provider and participating department an STC field representative. STC field representatives are available to provide technical assistance and consultation about all aspects of the STC Program.

II. GENERAL PROGRAM INFORMATION

A. The Corrections Standards Authority

1.   Areas of Responsibility

The Corrections Standards Authority (CSA) was created on July1, 2005, by combining the Board of Corrections (BOC) and the Commission on Correctional Peace Officers Standards and Training (CPOST).

The Board of Corrections was created in 1944 to provide leadership and coordination in local California Corrections. The BOC set minimum standards for local adult detention facilities and operations and had statutory responsibility for establishing selection criteria and training standards for local probation and corrections officers. These responsibilities continue under the Corrections Standards Authority.

The Commission on Correctional Peace Officers Standards and Training was created in 1998 and was responsible for developing, approving and monitoring selection and training standards for state correctional peace officers.

2.   STC Division

The STC Program, one of three divisions under the Corrections Standards Authority, is charged with the responsibility to:

- ♦ Assist local corrections and probation departments in selecting qualified persons for employment and in maintaining staff proficiency;

- ♦ Promote development of an efficient and effective training delivery system;

- ♦ Provide technical assistance and support to all participating departments and providers.

B. The Law

The STC Program provides a standardized, state-coordinated local corrections selection and training program. The Program was established in the California Penal Code on July 1, 1980. Sections 6024 through 6040 in the code describe Program mandates. The intent of the law is to improve the skills and raise the level of competency of local corrections and probation officers. It authorizes the Corrections Standards Authority to administer the STC Program.

III. REGULATIONS

The regulations for counties and cities that choose to participate in the STC Program are found in Title 15, Division 1, Subchapter 1, Articles 1 through 9, Sections 100-358 of the *California Code of Regulations (CCR)*. Hereafter, references to these regulations will be by section only. The regulations, on which the STC Program policies and procedures are based, were revised in 2003. Copies of the regulations may be obtained at the Corrections Standards Authority Website (www.csa.ca.gov), or by calling the CSA's general phone number (916) 445-5073.

A. Program Participation by Local Corrections Agencies

Each fiscal year, sheriff's, police, probation, and local corrections departments choosing to participate in STC submit an Annual Training Plan to the Corrections Standards Authority. The plan consists of a declaration of positions subject to STC standards identified by (STC) job category. The plan forecasts the minimum number of hours of training that will be provided for each job category. Training plans for a fiscal year (July 1 - June 30) are submitted to the Corrections Standards Authority by April 15 of the prior fiscal year.

B. Categories of Training

There are two categories of courses certified by STC: Core Training and Annual Training.

1. Core Training Courses

Core training consists of entry-level or basic training linked to specific job classifications within the first 12 months of appointment to a position.

The Corrections Standards Authority has identified the following six specific training courses as Core Training. Each course has a specific course outline and number of hours. The entry-level courses have subject matter and instructional objectives that must be presented in set time frames. The trainee's understanding of this subject matter is also evaluated through a testing process in the core course.

♦ Probation Officer Core Course

In addition to CPR as required by EMS, the Probation Officer Core Course consists of a minimum of 170 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a probation officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and are currently certified, do not need to repeat this subject.

♦ Juvenile Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Juvenile Corrections Officer Core Course consists of a minimum of 126 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a Juvenile Corrections Officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and First Aid, and are currently certified, do not need to repeat these subjects.

♦ Adult Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Adult Corrections Officer Core Course consists of a minimum of 176 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as an Adult Corrections Officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and First Aid, and are currently certified, do not need to repeat these subjects.

♦ Adult Corrections Officer Supplemental Core Course

The Adult Corrections Officer Supplemental Core Course consists of a minimum of 56 hours of instruction in specific performance instructional objectives. It is designed for the Adult Corrections Officer who has previously completed the Peace Officers Standards and Training (POST) Basic Academy Course. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed within the first year of job assignment as an Adult Corrections Officer.

♦ Supervisor Core Course

The Supervisor Core Course consists of a minimum of 80 hours of instruction to be completed during the first year of assignment as a supervisor in a jail/adult institution, juvenile institution or probation department.

Satisfactory completion of the POST- certified "Supervisory Training Course" satisfies STC's core training requirement for supervisors.

♦ Manager and Administrator Core Course

The Manager and Administrator Core Course consists of a minimum of 80 hours of instruction to be completed during the first year of assignment as a manager or administrator.

The POST certified *Management Training Course* or the *Executive Development Course* may be substituted for this Core Course.

Note: For those training providers who wish to certify and deliver core training, review of additional publications is required, specifically:

♦ Handbook for Presenting Core Courses

♦ Core Course Manual(s)

♦ Knowledge/Skill Maps

♦ Physical Tasks Training Manual(s)

All entry-level core course subject matter relates directly to job task performance. Participating agencies are encouraged to have their eligible staff complete this training before an actual work assignment.

2. **Annual Training Courses**

Annual Training is mandatory for all full participation eligible staff that have completed Core Training.

Annual Training is specialized or refresher training that develops or enhances job-related skills. Flexibility is permitted in course content and method of instruction in order to meet changing conditions and local needs.

During any fiscal year, each eligible staff shall complete at least the number of hours of appropriate Annual Training listed below:

Journey Probation Officer	**40 hours**
Journey Juvenile Corrections Officer	**24 hours**
Journey Adult Corrections Officer	**24 hours**
Probation Supervisor	**40 hours**
Supervising Juvenile Corrections Officer	**40 hours**
Supervising Adult Corrections Officer	**24 hours**
Manager	***40 hours**
Administrator	***40 hours**

 (*Managers and administrators of jails/adult institutions can be trained at 24 hours per year if the participating department has requested, and the CSA has approved, a variance to Section 184(A)(7) and (8) of Title 15 CCR.)

IV. GENERAL INFORMATION REGARDING CERTIFICATION OF COURSES

The intent of the course certification process is to provide high quality, cost-effective, job-related training. Certification of a course authorizes the training provider to advertise it as meeting requirements of the Corrections Standards Authority.

The following information is applicable to both Annual Required Training and Core Training except where noted. However, because the curriculum and testing requirements for all Core Training is research based and prescriptive in nature, all providers of Core Training must also reference the job specific *Core Training Manual* (PO, ACO, JCO) and the *Handbook for Presenting Core Courses*.

A. Overview of Course Certification Procedure

A certified course is a formal training program of job-related instruction approved by STC for sheriff's, police, probation, and local corrections department eligible personnel. Course subject matter must have a demonstrable relationship to the jobs performed by corrections' personnel who work in local jails/adult institutions, probation departments and juvenile institutions.

To receive STC certification, training providers must submit a Request for Certification (RFC) to the Corrections Standards Authority. The application may be submitted on-line via the CSA Website (http://www.csa.ca.gov). STC staff reviews all requests. Approved STC certifications are valid for a maximum of one year.

All certification requests must be "sponsored" by a local STC participating department (except when a STC participating department is the provider). Providers must obtain course sponsorship from an STC participating corrections agency as part of the certification process for a new course. When a training provider completes the on-line request for certification, the course will automatically be sent to the local department designated by the training provider via the Internet. The local department will review the course on-line and if sponsored, the course will automatically be forwarded to STC.

Departmental administrators and training managers may review courses for "sponsorship." This activity is performed via the Internet using a unique "pin" number issued by STC. "Sponsoring" a course indicates that the administrator or training officer has reviewed the course and has concluded that it would meet a portion of departmental training needs. The "sponsorship" process is the initial screening of a proposed course's quality, job-relatedness, and cost effectiveness. The act of sponsoring signifies a need for the course, which is a prerequisite to STC certification.

Course certification requirements include, but are not limited to the following:
   ♦ job-related topic, content, and performance objectives;

   ♦ a demonstrated need for the course;

   ♦ a demonstrated capability to provide quality training;

- the cost of providing the instruction in relation to the benefits (if the provider chooses to include budget information);

- the extent to which eligible staff may attend the course;

- the frequency with which the instruction can be provided in relation to the need;

- the ability to provide the instruction within the State of California; and,

- the adherence to policies and procedures established by the Corrections Standards Authority.

B. Enrollment

Certification of a course by STC does not guarantee or imply the enrollment of trainees. Therefore, potential training providers must work with potential training consumers; i.e. probation departments, sheriff's departments, police departments, and local departments of corrections to ensure course offerings correspond to training needs and that the departments will enroll a sufficient number of trainees.

STC policy requires departments to notify the training provider of cancelled enrollments a minimum of *fifteen* calendar days before the course. If a department has enrolled participants in a certified course and that number of participants does not attend the course, the provider *may* charge the department the cost of tuition for absent trainees. If an emergency occurs which prevents a trainee from attending, the training manager should advise the provider immediately.

When departments enroll participants in a STC certified course, they incur an obligation to the provider. *The terms and conditions of this obligation are negotiable between the department and the provider.* The provider may require written confirmation. Also, a provider may require a nonrefundable deposit that will be applied to the tuition cost for those who attend the course. However, this deposit cannot exceed the maximum course cost.

See Section 7, *Billing Computation*, for detailed information on fiscal risks to a Provider.

C. Tuition Policies

STC has comprehensive policies and procedures establishing maximum allowances for the various costs associated with course delivery. However, since no State funds are used to cover the costs of training, adherence to these policies and procedures by training providers is voluntary. When filing a request for course certification, a training provider must decide whether he/she wishes to adhere to STC's fiscal requirements.

If the provider opts to not follow STC's policies and procedures with regard to establishing course costs and calculating tuition, both the course budget, and the maximum tuition will be listed as "N/A" in the approved course profile. What this means is that course costs have been neither reviewed, nor approved by STC and the training provider and the local department are free to negotiate the course tuition as they see fit.

If the provider opts to follow STC policies and procedures with regard to course costs and tuition calculation, then dollar figures will be displayed on the course profile for both the budget and maximum tuition. What this means is that STC has conducted a thorough review of the proposed course budget and that the training provider has agreed to calculate tuition charges in accordance with STC policies and procedures. Under these circumstances, local departments may rest assured that the course is cost effective in terms of proposed instructor rates, staff travel, room rental, equipment, handouts, etc.

Please note that even when course costs have been approved by STC, these costs represent maximum possible amounts and are the basis for determining the maximum tuition listed in the STC Course Catalog. NOTE: The maximum allowable tuition costs for any course are:

- ◆ A maximum of $96 per participant, per classroom day (8 hours) may be charged by a training provider for a certified course ($12 per classroom hour per participant).

Actual course and instructor travel costs (not to exceed line items and maximum approved amounts) are used to calculate tuition charges for billing. Usually, actual tuition charges will be less than the maximum approved amount and vary with each course offering. This occurs because the actual course delivery costs, travel costs and/or other related costs are less than the maximum projected costs.

D. Certification Restrictions

The following are examples of certification restrictions:

- ◆ Meetings of any type by any group or organization will not be certified. Certification may be granted for training courses held immediately before or after a meeting.

- ◆ Professional group or association courses limited to association or group members will not be certified.

- ◆ A course that restricts attendance to a single department will not be certified, except when the purpose of the course is for the improvement of a specific department and attendance by persons outside the department would jeopardize the success of the course.

- ◆ Conferences, or any component thereof (i.e., general sessions, ceremonies, keynote speakers) that do not meet the Request for Certification criteria in terms of instructional design and format will not be certified.

♦ Courses of less than two hours per day will not be certified under the regular certification process.

E. Types of Certification

Any type of course certification by the STC Program is valid for one year.

1. Certification

Certification is for job-related training that has a formal program of instruction, approved by STC for training of eligible staff.

2. Recertification

Recertification is for currently certified courses that the provider wishes to offer beyond the one-year certification. These courses must meet all certification criteria.

3. Provisional Certification

Provisional certification is for any course that meets all the minimum certification criteria but requires further review by STC. If the course is new, has inexperienced instructors, is presented by a provider who is seeking certification from STC for the first time, or by a provider who has problems with compliance or adherence to the standards, a provisional certification is issued at the discretion of STC staff. Based on STC review, a provisionally certified course will either be regularly certified or decertified (see Revocation of Course Certification). A course with a provisional certification may be advertised as a certified course and tuition may be collected.

F. Course Attendance

Providers are responsible for reporting accurately, and attesting to, the number of attendance of each participant. Credit for actual classroom attendance is granted on an hour-for-hour basis. STC provides a course roster for documenting trainees' of attendance. The training provider is responsible for accurately recording the attendance of each trainee in the "hours attended" column of the *Course Roster*. A course roster must be completed for each presentation of the course and a copy mailed to each trainee's department within 30 days of the conclusion of the course.

G. Certificate of Course Completion

For any STC certified course (core or annual), providers may, at their discretion, issue certificates of course completion. If a certificate is issued, it must include the following information:

♦ Name of the training provider

♦ Name of the trainee

- ♦ Official title of the course,

- ♦ Total number of STC certified hours for the course

- ♦ STC certification number for the course

- ♦ Date of course completion

- ♦ A statement that the course was successfully completed by the trainee

- ♦ Signature of the training provider

If a training provider opts to issue a certificate of course completion, <u>it shall be in addition to the course roster described in the prior section.</u>

Refer to the manual entitled *Handbook for Presenting Core Courses* for more information.

H. Provider Evaluation of Trainees

On an optional basis, providers of either core, or annual courses may wish to maintain an anecdotal record of an attendee's performance in training (*e.g.,* attitude, assertiveness, oral communication, written communication, initiative, interpersonal skills, judgment, maturity, personal appearance, responsibility, etc.).

Although testing in annual required training courses is optional providers are strongly encouraged to develop testing instruments for all STC courses. Agencies requesting specifically designed training for their staff should insist on a testing component.

All certified entry Core courses must conduct testing as prescribed in the statewide Core training curriculum. When tests are administered, it is the responsibility of the provider to score all the tests, provide a summary of the test results (numerical and pass/fail) by trainee, and distribute this information to the trainee's department within 30 days of course completion. For more information on test requirements in Core courses, please refer to the job specific *Core Training Manual* (PO, ACO, and JCO) and to the *Handbook for Presenting Core Courses*.

I. Course Numbering System and Course Categories

Each certified course is assigned a ten-digit number. The first four digits constitute the provider or agency's "user identification number" and the final six digits constitute the course identification number. These two numbers, separated by a hyphen, constitute the complete course certification number.

Each regularly certified course will be categorized according to the course content listed below: *These categories do not apply to alternative credit courses (special certifications, intensified format courses, or courses approved for work-related training and education credit).*

LEGAL (1.00)

- 1.01 Ethics and Values

- 1.02 General *(e.g., Asset Forfeiture, Facility Standards, Inmates Rights)*

- 1.03 Liability *(e.g., Abuse of Force, Civil Rights, Color of Authority)*

- 1.04 Juvenile Law/Issues Update

- 1.05 Adult Law/Issues Update

- 1.06 832 PC

PROCEDURAL (2.00)

- 2.01 Booking/Intake Classification

- 2.02 Investigations and Information Gathering *(e.g., Crime Scene, Evidence, Interviews)*

- 2.03 Demeanor and Testifying in Court

COMMUNICATION (3.00)

- 3.01 Basic Writing Skills

- 3.02 Report Writing

- 3.03 Interpersonal Communications *(e.g., Conflict Resolution, Listening, Speaking)*

- 3.04 Instructor Development

- 3.05 Public Relations *(e.g., General Public and Media Relations)*

- 3.06 Radio/Video Communications

- 3.07 Foreign and Sign Languages

- 3.08 Computer Training *(e.g., CLETS, NCIC, Software/Hardware Use)*

SAFETY AND SECURITY (4.00)

- 4.01 Arrest, Search and Seizure

- 4.02 Restraints *(e.g., Chairs, Electronic Devices, Handcuffs, Stun Belts)*

- 4.03 Facility Security

- 4.04 Water Safety

- 4.05 Transportation *(e.g., Defensive Driving, Inmate Transportation)*

- 4.06 Emergencies *(e.g., Bombs and Explosives, Hostage Situations, Riots,*

Suicide Prevention)

- 4.07 Special Use Teams *(e.g., Cell Extraction, Hostage Negotiations, SWAT)*

- 4.08 Fire and Life Safety

- 4.09 Unarmed Self Defense

- 4.10 Less-Lethal Weapons *(e.g., Baton, Bean Bags, Sting-ball Grenades)*

- 4.11 Firearms *(All Firearms Training except for 832 PC)*

- 4.12 Jail and Field Training Officer

- 4.13 Chemical Agents

- 4.14 Field Tactics

MEDICAL AND MENTAL/EMOTIONAL ISSUES (5.00)

- 5.01 First Aid/CPR

- 5.02 Disease Control

- 5.03 Substance Abuse

- 5.04 Mental/Emotional Issues *(e.g., Developmentally Disabled, Non-/In-Custody Offenders)*

- 5.05 General *(e.g., Dealing with Death, Eating Disorders, Stress, Sex Education)*

CASEWORK (6.00)

- 6.01 Case Management *(Time/Caseload Management, Community Resources, Correctional Programs)*

- 6.02 Counseling

- 6.03 Cultural Awareness

- 6.04 Abuse *(Child, Domestic, Elderly, Incest, Sexual)*

- 6.05 Gangs, Hate Groups, Occult

MANAGEMENT AND SUPERVISION (7.00)

- 7.01 Organizational Development *(Strategic Planning, Team Building, Organizational Policies and Procedures)*

- 7.02 Fiscal Issues and Budgeting

- 7.03 Personnel Issues

- 7.04 Supervisor Update Training

- 7.05 Manager/Administrator Update Training

CORE COURSES (8.00)

- 8.01 Probation Officer

- 8.02 Juvenile Corrections Officer

- 8.03 Adult Corrections Officer

- 8.04 Adult Corrections Officer Supplemental (Supplemental to POST Basic Academy)

- 8.05 Supervisor

- 8.06 Manager/Administrator

MULTIPLE TOPIC OR MULTIPLE TRACK COURSES (9.00)

- 9.02 Multiple Topics (A traditional course containing a variety of subjects—*e.g.,* a 24 hour course with a variety of unrelated subjects such as CPR, report writing, defensive tactics, etc.)

- 9.03 Multi-Track Courses *(An event attended by many trainees that offers a variety of training sessions simultaneously; e.g., TMS, Jail Managers' Seminar, Keys, etc.)*

J. STC Publications, Advertising, and Marketing

1. STC Course Catalog and Calendar

STC maintains a course catalog and calendar at the Corrections Standards Authority Website (www.csa.ca.gov). The catalog is updated continuously and contains summary information on every course certified by the Corrections Standards Authority. The course calendar provides current information on upcoming course presentation dates and locations.

Every effort is made to ensure the accuracy of the information contained in the catalog and calendar. However, unpublished changes may occur, and departments should always verify information with training providers. Training providers are advised to provide the STC Program with timely and accurate updated information so the calendar will reflect the correct content of the courses.

2. Advertising

The STC ten-digit course certification number must be printed on all announcements, brochures, bulletins, or other publications soliciting participation by STC eligible personnel. Providers cannot advertise the class as "Corrections Standards Authority STC- certified" until official notice of certification has been received from STC. Providers cannot advertise a course

as "Certification Pending."

3. <u>Marketing</u>

Participating departments have discretion in choosing training providers and courses to meet training needs. For this reason and because STC certification does not guarantee course attendance, it is incumbent on the provider to establish and maintain effective communication with participating departments and training managers.

A directory of participating departments and training providers is available on the CSA Website. This directory lists the names, addresses, and phone numbers of all department heads and training managers. STC believes frequent dialogue between providers and department representatives not only benefits the marketing efforts of providers but also enhances the quality of training.

K. Modification of Certified Courses

Modifications of a certified course include any change in an approved course, the cancellation of a scheduled course offering, or the addition of a course offering. Modifications are submitted over the Internet using the provider's unique pin and identification numbers.

1. **Changes in Certified Courses**

   General
   Changes in a certified course including cancellation, instructor change, or course outline change must be submitted to STC at least **10 calendar days** before the effective date of the change.

   Tuition Changes (applies only to courses with STC approved budget and tuition)
   The *only* allowable budget increases that may be made in a course during the term of certification are for:

   ♦   training room rental

   ♦   course staff travel

   Any request for an increase in the approved tuition fee as a result of higher costs in these areas must be received at least **20 calendar days** before the course offering. These requests may be denied and training providers may not charge increased fees without receiving written, or on-line approval from STC before the course offering.

   Emergency Changes
   When an emergency occurs that causes last minute changes in a certified course (such as a change in instructors due to illness), the provider must notify STC immediately by telephone. In some cases, an STC Field Representative may advise a training provider to notify departments with registered participants. In addition, providers must notify STC in writing or via e-mail within **10 calendar days.**

2. **Cancellation of Certified Courses**

Providers may cancel a scheduled course for good cause. Providers must notify STC and all agencies with registered participants of the cancellation at least **10 calendar days** *before* the first scheduled day of the course. Failure to notify all departments with registered participants may subject all certifications to revocation.

Exceptions to the ten-day policy will be considered on a case-by-case basis when an emergency occurs; *e.g.,* illness of the instructor. Training providers must notify STC and all agencies with enrollees immediately. Justification for the cancellation must be submitted to STC in writing or via e-mail within **10 calendar days** of the cancellation. Low participant enrollment is *not* considered adequate reason to cancel a course with less than **10 days** notice to departments.

Providers should use STC's on-line system to delete the presentation date from STC's data base.

3. **Addition of Course Offerings**

For courses with a valid certification, Providers may add additional presentation dates any time prior to the delivery date. Such additions are made using the on-line system.

L. Peace Officer Standards and Training (POST) Certified Courses

While STC recognizes POST certification for a limited number of courses (*e.g.,* training required under 832 PC), training providers should not assume that STC and POST certifications are mutually recognized or equivalent. If you have questions about dual certification of courses by both STC and POST, please contact an STC Field Representative.

M. Suspension/Revocation of Course Certification

1. Causes for Suspension/Revocation

Causes for suspension/revocation of a training provider's course certification include:

♦ No demonstrated need for the course.

♦ Presentation of poor quality or non job-related courses as disclosed by participant course evaluations; department evaluations; STC monitoring of courses; or other sources.

♦ Violation of standard operating agreements demonstrated by not adhering to STC Program regulations, policies and procedures; not adhering to work outlined in the approved Request for Certification; non-cooperation with the Corrections Standards Authority or the State Controller's Office; or not adhering to a contract for training services with a participating department.

2. Process of Suspension/Revocation

If there appears to be sufficient cause to revoke a course certification, the following process will be followed:

A. The STC field representative will initiate the proceedings by presenting the information to the deputy director.

B. If the deputy director determines there is sufficient cause for action, the training provider will be sent a letter that will contain the following:

♦ Notification of suspension pending revocation and the reasons;

♦ A request that the provider submit information that may affect the decision (the response must be received by STC within 15 working days upon receipt of the notification); and

♦ Notification of the suspension of the certification(s) until the matter is resolved.

C. If the provider responds with additional information within the **15 working days**, the deputy director will review the information, make a final disposition, and notify the provider by mail within **10 working days.** If the provider does not respond within **15 working days,** the course certification(s) will be revoked and the provider will be notified by mail within **10 working days.**

3. Effect of Suspension/Revocation

If a course certification is suspended or revoked, STC's name and course certification number may not be used or implied in any advertisement that is published after the date of the suspension or revocation.

Departments will not receive credit toward Corrections Standards Authority's training requirements and cannot expend STC funds for courses after the certification is suspended or revoked.

It is the responsibility of the training provider to notify all departments with registered participants that the certification has been suspended or revoked. Failure to do so may result in departments refusing to pay for course tuition.

N. Evaluation of Certified Courses, Participants and Instructors

1. Course Evaluation by Participants

The mission of the STC program is to enhance the competency of local correction personnel. This in part is achieved through the continuous evaluation and improvement of the quality of STC certified courses. Course evaluation by participants is a vital element in this process.

STC supplies a standard *Course Evaluation Form* that all providers are required to use. The questions ask participants to evaluate the Course in terms of Overall Rating, Content, Relevance/Usefulness, Amount Learned, Course Organization, Use of Class Time, Instructor Knowledge, Instructor Effectiveness, Instructor Responsiveness and Relevance of Training Aids. There are several questions regarding the participants' impression of the course. These questions require a written response.

Participants should be given sufficient time to thoughtfully complete the evaluation form at the end of each course. They should be encouraged to complete the entire form and reminded of the importance their responses play in assisting STC, training providers and participating departments in their efforts to improve the course content and delivery.

Evaluation forms cannot be processed unless the circles are properly filled with a pen (blue or black) or Number 2 pencils. Entries made with a pen cannot be changed. If an error is made using a pen, the trainees will need to complete a new form. It is the training provider's responsibility to ensure that the evaluation forms are submitted to STC in acceptable condition for automated processing; therefore, forms must not be folded or mutilated.

Providers must send the completed forms to STC within 30 days following the course offering. Providers and instructors are encouraged to review the participant evaluations before mailing them to STC. The participant written responses are designed to provide focused feed back for providers and instructors. They are not included in STC formal evaluation of the course.

The evaluation results are statistically analyzed. A percentile ranking is given for each of the scales as listed (Overall Rating, Content, Relevance/Usefulness, Amount Learned, Course Organization, Use of Class Time, Instructor Knowledge, Instructor Effectiveness, Instructor Responsiveness and Relevance of Training Aids). This ranking compares the course with all other STC courses in the same course category (refer to the section of this manual entitled *Course Numbering System and Course Categories.)*

The results are reported on the STC web page and can be accessed through the Course Catalog. Three levels of information are provided:

Level I, found as part of the course information on the Web Catalog page, gives comparative information based on the overall rating of the course. Two scales are presented, "Providers Presentations of this Course" and "All STC Presentations in this Same Category". Each scale displays a graph and displays the highest overall mean rating, the lowest overall rating and mean for all the presentations of the course or category.

Level II is a listing of all the course dates for which there is data. Each course date is hyperlinked to level III.

Level III provides a display of detailed evaluation data that is specific to the course based on all ten dimensions contained in the STC evaluation form. It also provides a dimension-by-dimension comparison to all other courses in the same category.

It is difficult to draw meaningful information from a review of the completed Course Evaluation Forms without the comparative data, as trainee ratings vary among each of the course categories and from offering to offering. The reporting system controls for this by comparing a course only to those courses in the same category and only reports on those courses where there is sufficient data for analysis. All three levels of information can be accessed from the online STC Course Catalog as soon as the evaluation forms from each class are analyzed. The information is intended to assist providers in their on-going efforts to continually upgrade the quality of STC training.

Participating agencies are encouraged to review course evaluation information when considering the use of an established course.

2. Course Evaluation by Training Providers

Providers may submit evaluation information to STC that is in addition to the required STC course evaluation form. This can be in the form of an additional course evaluation instrument or it may be a letter with specific information evaluating the success of the course, response of the participants and the working relationship with participating departments.

3. Course Evaluation by Participating Departments

STC encourages all departments to submit specific information that will assist in the evaluation of certified courses. Such information might include the department's working relationship with the provider, an evaluation of the course, skills/knowledge learned by participants and statements regarding the provider's adherence to contracts or advertising.

4. Evaluation of Trainees by Training Providers

Providers of Core Courses are required to provide trainee test scores (numerical and pass/fail) to each agency that enrolled a trainee in the course. A summary of test scores for all trainees in the course must also be submitted to STC. Test scores must be provided as indicated herein within 30 days of the conclusion of the course. For test requirements related to Core training see the job specific *Core Training Manual* (PO, ACO, JCO), and the *Handbook for Presenting Core Courses.*

Testing is optional for annual courses.

Provider evaluation of participants in the form of an anecdotal record is optional for both core and annual courses.

5. Evaluation of Instructors

Instructors should be selected who have knowledge and skills necessary to teach the subject of the core tasks. A problem may occur when an instructor may have expertise in the subject matter, but lacks effective presentation skills. Another instructor may be a "specialist" who lacks the generalist skills of focusing on performance-based training. These instructors may possess job experience and knowledge that are valuable resources, but are unable to convey the information. The provider should closely monitor the new instructor and provide assistance whenever needed.

Instructors are evaluated by trainees, by the Corrections Standards Authority STC staff, and by the provider. Trainees evaluate the instructors through the use of the STC Program's *Course Evaluation Form* (CEF), plus provider specific forms that some have developed for their own management purposes. STC staff evaluate the instructors through on-site monitoring of course presentations and qualitative reviews of lesson plans, test items and procedures. Training providers should develop a system for evaluating the instructor competencies of each presenter.

6. Monitoring

♦ STC staff may monitor any certified course. Staff determine whether the course objectives are being met and evaluate the course quality and costs. Monitoring may include, but is not limited to:

♦ determination of adherence to the RFC;

- ♦ review of lesson plans and achievement tests;

- ♦ analysis of instructor's presentation;

- ♦ review of participant feedback;

- ♦ review of instructor/training provider feedback; and,

- ♦ review of fiscal records.

O. Conflict of Interest

Providers and participating departments should be aware of a potential legal problem, which may be an issue whenever staff of a participating department are used to instruct members of their own department. All participating departments must adhere to county and departmental policy on conflict of interest. It is recommended that the agency's legal counsel be consulted regarding this issue.

P. Appeals

The appeal procedures are intended to provide a review concerning the application of the regulations, policies and procedures governing the administration of the STC's certification of courses. A provider or prospective provider of a course may appeal a Corrections Standards Authority staff decision on the basis of alleged misapplication, capricious interpretation of the regulations, policies and procedures, or substantial differences of opinion that may occur concerning the proper application of regulations, policies or procedures.

If a provider is dissatisfied with an action of the STC field representative, he/she may appeal the cause of the dissatisfaction to the deputy director in charge of the STC Division of the CSA. Such appeals shall be filed within **30 calendar days** of the notification of action with which the provider is dissatisfied.

The appeal shall be in writing, and
- ♦ state the basis for the dissatisfaction;

- ♦ state the action being requested of the deputy director; and,

- ♦ attach any documentation related to the cause for dissatisfaction.

The deputy director will review the correspondence and related documentation and render a decision on the appeal within **30 calendar days,** except in those cases where the provider withdraws or abandons the appeal. (The procedural time requirement may be waived with the mutual consent of the provider and the deputy director.)

The deputy director may render a decision based on the correspondence and related documentation submitted by the provider and may consider other relevant sources of information deemed appropriate. The decision of the deputy director shall be in writing and shall provide the rationale for the decision.

If the provider is dissatisfied with the decision of the deputy director, he or she may file a request for review by the CSA Executive Director. Such a request shall be filed within 30 calendar days after receipt of the deputy director's decision. The requested review shall be in writing, and

♦   state the basis for the dissatisfaction;

♦   state the action being requested of the Executive Director; and

♦   attach any correspondence related to the appeal with and from the deputy director.

The Executive Director, after reviewing the appeal and the correspondence related to the review, may decide the matter on the record, or request additional information. After a decision is made by the Executive Director, notice of the decision shall be mailed to the provider. The decision of the Executive Director shall be final.

V. PROCEDURE FOR REQUESTING CERTIFICATION OF COURSES

A. Certification of Courses

All requests to certify courses must be submitted to STC a minimum of 20 calendar days prior to the first course offering for any "annual" course. Requests for certification of "core" courses must be submitted to STC at least 60 days prior to the first course presentation. Providers are encouraged to allow even more lead time if:

- ♦ you are a new provider;

- ♦ you are requesting certification of a Core course for the first time;

- ♦ the course material or presentation format is unusual; or,

- ♦ the course costs are higher than typically approved.

The advance filing time allows STC field representatives the opportunity to review the request, discuss and resolve any concerns, and certify the course. Requests for certification not submitted in a timely manner may result in the inability to conduct a course on a desired date. Even though the same application package is used for both annual and core courses, there are different policies and procedures for certifying each type of course. Therefore, it is important to review the applicable sections governing the type of course for which you are requesting certification.

Requests for certification of both core and annual courses are submitted via the Internet. Providers that do not have an identification and pin number may apply at the CSA Website: www.csa.ca.gov.

The RFC packet is divided into the following sections:

- ♦ Course Information

- ♦ Face Sheet

- ♦ Performance Objectives

- ♦ Instructor Information

- ♦ Course Outline

- ♦ Course Dates

- ♦ Course Costs for Staff

- ♦ Course Costs for Supplies and Operating Expenses

- ♦ Costs for Consumables

- ♦ Course Costs for Training Room Rental and Instructor Travel

- ♦ Assurance Statement

- ♦ Agency Sponsorship

For technical assistance in completing the RFC, contact STC.

B. Overall Fiscal Guidelines Summary

At the time the request for course certification is submitted to STC, the training provider decides whether or not he/she wishes to adhere to STC policies and procedures with reference to course budget and tuition calculation. If the provider wishes to adhere to STC fiscal requirements, the course budget and tuition information will be reviewed and may be approved by STC.

Before you calculate the budget for the course, you should review the following fiscal policies relating to STC certification:

- ♦ The budget should reflect maximum cost anticipated for each line-item. Billing is based on *actual costs*, not to exceed each approved line item. (See Section VII, *Billing Computation*)

- ♦ STC will disallow a budget that has line items not in compliance with fiscal policies, or has costs that are determined not to be cost-effective.

- ♦ A maximum of $96.00 per participant per classroom day **(8 hours)** may be approved for a certified course ($12.00 per classroom hour per participant).

Both the "Maximum Budget Cost" and "Maximum Tuition per Trainee" will be listed as "N/A" by STC if the provider does not choose to have the budget reviewed and approved by STC.

C. Request for Certification

Presented below are general policies and procedures that you need to understand and that must be followed in preparing a Request for Certification.

1. Course Information

This is the first page of the RFC packet. It captures general information about the provider (name, address, etc.) as well as the specific course contact person. It includes the course title and specifies whether this is a "new" course, or a request for "recertification."

If the request for certification is submitted via the Internet, much of this information will "auto-populate"(these fields will be automatically completed by the computer based upon information collected when the provider's pin number was issued).

Face Sheet

This section identifies the course as either *core* or *annual* and specifies the *primary population* (target audience). More than one *primary population* may be designated.

Class Size: Pursuant to STC Policies and Procedures, maximum class size is always 25% larger than the minimum class size. Once the minimum class size is entered by the training provider, the maximum class size is automatically calculated by the automated system. The primary significance of the maximum class size is that it governs the amount of profit a private provider may collect for the course. If the provider is not submitting budget information for STC review and approval, the only consideration driving class size should be subject matter and training methodology. For example, classes where the methodology is primarily lecture could accommodate a higher maximum class size than a class such as weaponless defense that requires a high ration of instructor(s) to trainees.

The course content and the instructional methods required to teach the content are the primary factors in determining appropriate class size. Generally, the minimum for an STC course is set at 16 or more participants. Minimum class sizes larger than 16 are encouraged, where applicable, to increase cost-effectiveness of the training. A minimum of 16 is normally required for certification. Written justification is required if the proposed minimum class size is less than 16 (applies only to courses with approved budget and tuition rates).

> Considerations: Setting the minimum/maximum range has important implications for covering the costs of delivering the course, as well as determining the financial compensation for the provider. Therefore, it is important to understand the billing computation procedures (Section 7) when setting the minimum/maximum class size for the course.

Course Hours: means the total length (in hours) of a single presentation of this course.

Maximum Budget Cost: Is derived by totaling all course costs projected in the balance of the RFC application. This figure will be automatically calculated based on cost factors entered later in the application package, if the course is being submitted via the Internet or via the electronic template (EXCEL version) available at the CSA Website. This data field will be listed as "N/A" if the provider does not include budget information in the request for certification.

Maximum Tuition per Trainee: Is calculated by dividing "Maximum Budget Cost" by the minimum class size. This figure will be automatically calculated (by the automated system) based on cost factors entered later in the application package.

Note: The actual tuition will usually be lower depending on the billing computation of actual vs. projected costs **(see Section 7, Billing Computation)**.

Any association or group that allows discounts (or no charge) on STC certified courses to any group or individual must give the same discount to all STC participants.

This data field will be listed as "N/A" if the provider does not include budget information in the

request for certification.

Department Specific: should be checked if the course content has been so heavily customized for a specific agency that attendance by trainees from other departments would be inappropriate.

One Time Presentation: should be checked if the provider is certain that the course will be delivered only once during the life of the certification.

Course Summary: What you write here is exactly what will appear, word-for-word, in the STC course catalog. This will be the initial source of information a participating department uses to select the course. It is to your benefit to write this summary carefully and accurately. Be concise, but complete. This data field is limited to not more than 600 typewritten spaces.

During the process of reviewing your application for certification, STC staff may contact you to discuss changes in the wording of this summary if it does not reflect your course accurately or clearly, or staff may edit or expand the summary for the clarity of the participants.

Justification for Class Size Less than 16 (applies to budgeted courses only).

Whenever a class size of less than 16 is proposed, a justification must be included. Criteria for smaller class size include:

♦   it is the most cost-effective method of delivering the course;

♦   departmental needs require timely delivery of the course;

♦   there are a limited number of available participants statewide;

♦   due to the content of the course, a reduced class size is required.

Also, an STC participating agency may request a one-time reduction in the minimum number of participants for specific cost and efficiency reasons. Their request must be submitted in writing at least 10 days in advance of the course date and include a clear description of the need for, and savings enjoyed by, the department if the class size is reduced.

Performance Objectives

Certification of each course requires clearly stated instructional/performance objectives. STC emphasizes objectives as a means to enhance and evaluate training quality. Well-constructed objectives:

♦   provide direction for those who teach the course;

♦   focus the trainee's learning; and,

♦   serve as a means to evaluate the course.

For course certification, write specific and measurable performance objectives that clearly indicate the job-related knowledge or skill which participants will be able to demonstrate *upon course completion* (not back on the job). **Specify what the trainee will be able to do, under what conditions, and at what acceptable level**. Examples:

♦ Without reference to the medical screening handbook, the trainee will be able to describe at least three major symptoms of alcohol withdrawal.

♦ Given a list of behaviors, the trainee will be able to differentiate between those that are normal and those that are schizophrenic.

♦ Given a diagram of the jail, the trainee will identify five emergency escape routes within 60 seconds.

For help in writing performance objectives, please refer to STC publication *A Guide For Writing Instructional Objectives for STC Annual Course Certification* (also available on the CSA web site).

Testing Procedures:

While testing for Annual Courses is not required, it is highly desirable. Testing can:

♦ indicate mastery of the performance objectives;

♦ demonstrate the effectiveness of training; and,

♦ provide results to departments.

Instructor Information

The instructor information form demonstrates the qualification of each course instructor. Formal resumes are not required and cannot substitute for the completed instructor information sheet. Submit information that directly relates to the course. It should reflect the instructor's:

♦ expertise in the subject area;

♦ work experience related to the topic;

♦ areas of related teaching experience; and,

♦ educational level.

Although all sections need not be completed, you should provide enough information to demonstrate the instructor's qualifications to teach the specific subject area(s) identified as his or her responsibility in the course outline.

Remember, if an instructor teaches more than one STC-certified course, a single "copy" of his/her instructor information sheet will be maintained in STC's database. It must adequately describe the instructor's ability to teach any course for which he/she is listed as an instructor. When updating the instructor's information sheet, it is best to be comprehensive and add, rather than delete information.

For courses that rely on current proficiency or license of the instructor, such as CPR, First Aid, and chemical agents, it is the training provider's responsibility to ensure that the instructor possesses the required credentials. The provider must clearly state (in the "expertise" text box) that the instructor possesses the applicable, currently valid, license or certificate. Further, it is the responsibility of the provider to ensure that the instructor's certification remains valid for purposes of any scheduled course presentations delivered under the auspices of the STC certification.

Course Outline

Submit a detailed hour-by-hour course outline for each day of the course. Designate the lunch break, and at what point in the training day it will occur. It is not necessary to document other, short breaks. The course outline should include sufficient detail for STC staff to evaluate/identify:

- course content;
- job-relatedness;
- relationship between content and performance objectives;
- instructional methodology (check all methodologies that apply for any given segment);
- which primary instructor will be teaching each segment

On the "course outline" page of the application package, the text box for each segment entitled "Subject or Topic" provides ample room for detail. Nevertheless, design constraints of the application, limit individual instructional segments to a maximum of 12 per day. You must organize your outline in a manner that allows you to describe your course as completely as possible within the 12 available segments.

Course Dates

Each individual offering of the course must be registered with STC. For presentation of the course enter the date on which the presentation begins, and the date on which it end. The city in which the course will be delivered must also be entered for each presentation.

For example:

If a complete course were 24 hours (3 days) long, the start date might be 11/5/01 and the end date would be 11/7/01.

For an 8 hour course (one day), both the start and end date would be entered as 11/5/01, because the course begins and concludes on the same date.

If course is to be delivered over an extended period of time, the only dates that should be entered are the first and last. If a complete course presentation of a single course that is 40 hours long (5 days) is going to be delivered one day a week beginning Monday, 11/5/01 and ending Monday, 12/3/01, only these two dates should be entered. The intervening days on which the middle of the course is delivered are not listed.

For all new courses certification requests, at least one proposed course delivery must be listed. For recertification requests, this is not necessary (unless the course has not been delivered within the previous 24 months). The intent of this policy with regard to recertification is to avoid continuously recertifying courses that are not being used by STC participating agencies.

Course Costs for Staff (applies to budgeted courses only)

Primary and Alternate Instructors: Enter the primary and alternate instructor listed on the course outline. If you are using the on-line application process, these names will appear automatically. For each instructor, list the hourly instructional fee.

The range of fees available to you, as a provider, is **$0 to $50** per instructional hour. This amount must include any fringe benefits and instructor preparation. In negotiating fees with instructors you must take into consideration required skills, cost-effectiveness, and current market value of comparable instruction. Failure to address these issues adequately may cause the amount to be denied by the STC field representative.

Under specific criteria, STC Program, based upon written justification from the provider, may approve instructor rates of $50 per hour to a maximum of $90 per hour. Such requests are evaluated on a case-by-case basis and will be considered in context of the entire course. Approval of instructor rates for one course does *not* constitute approval of that instructor rate for any other course.

Requests for instructor rates above $50 must be justified in the space provided in the on-line RFC application (or EXCEL template).

If a course is approved at a higher rate, the rate is valid as long as the conditions under which it was approved continue. The rate will be reevaluated during the recertification process to determine if the conditions leading to approval remain the same. The rate is no longer valid if the course content changes or is shortened. The rate will be reevaluated if a substitute instructor is proposed.

A. Requests for instructional fees in excess of $50 per hour will be evaluated by the following criteria:

    1. Renowned Instructor with Advanced Credentials

- An instructor who is renowned for expertise in the subject matter (*e.g.,* widely recognized as a leading expert in the subject matter, trains other trainers or experts in the subject matter, is published in the subject matter,

etc.)

- An instructor with specialized credential in the subject matter (*e.g.,* Medical Doctor, Psychiatrist, Attorney, etc.) whose customary fees in that capacity would be equal to or greater than the hourly instructional fee being requested.
- Note: Meeting one or both of the criteria listed above would not be sufficient for the higher fee unless at least one of the additional criteria listed below under Section 2, 3, or 4 below *also* apply.

2. Course Availability

Your requested course content is not otherwise available through STC.

3. Specialized Curricula

Your course content is technical or complex and this specialized curricula is targeted to trainees who:
- perform a specialized job function, and
- require advanced training beyond the introductory or update level.

4. Specialized Application or Custom Course

Your course has been custom designed for the target audience or specifically tailored for each presentation.

B. Note: Not eligible for hourly instructor rates above $50 per hour are courses that:

♦ are of wide-range application (related to several corrections job functions); or,

♦ are basic overviews; or,

♦ focus on general knowledge; or,

♦ introductory in nature; or,

♦ focus on fundamental job skills generic to the rank and file job classification (i.e. rank and file probation officer, juvenile corrections officer, or adult corrections officer)

Justification for Team Teaching: Written justification for team teaching must be provided whenever two or more instructors will be paid for teaching the same instructional segment at the same time.

Because most courses can be taught effectively with one instructor, team teaching is rarely required. When applicable, team teaching is defined as two or more instructors who simultaneously, or in close concert:

♦ instruct,

♦ demonstrate, or

♦   interact with trainees

Team Teaching may be approved under the following conditions:

♦   close instructor observation/interaction is necessary to reduce the likelihood of injury to trainees who are learning specific physical skills (*e.g.,* defensive tactics, weapons use); and,

♦   one-on-one instructor assistance is needed frequently during skills development exercises (*e.g.,* report writing, interviewing practice).

If the total cost of Team Teaching exceeds $50 per hour, requests describing the need must be submitted in writing with the RFC.

Additionally, the course outline must clearly indicate the use of Team Teaching as the instructional method for that portion of the course. Under no circumstances can team teaching costs exceed $120 per instructional hour.

On-site Coordination: Written justification is required if hourly fees for on-site coordination are charged.

On-site coordination costs are approved if it is necessary to ensure an effective course presentation.

On-site coordination costs, not to exceed $17 per certified classroom hour, may be allowed under special circumstances for courses requiring:

♦   direct hands-on, non-instructor assistance for small group facilitation;

♦   operation of audio-visual equipment that cannot be maintained by the instructor during instructional time; and/or,

♦   the introduction and coordination of multiple instructors.

No on-site coordinator, while acting as such, will be paid as an instructor.

The on-site coordinator must be at the site of the course, or be providing transportation for the instructor(s) to and from the course, while the course is in session.

Clerical Support: Clerical fees associated with course development and deliveries are allowable equal to the total amount of course hours. For example, up to 8 hours of clerical fees would be allowed for a course that is 8 hours long. The maximum allowable fee allowed for clerical costs is $12 per hour.

Course Costs for Supplies and Operating Expenses (applies to budgeted courses only)

Course Supplies and Handouts: The maximum allowable cost for your course consists of a flat fee tied to a sliding scale derived from a combination of class size and course length which is set forth below:

<u>**COURSE SUPPLIES/HANDOUTS**</u> (applies to budgeted courses only)

Maximum Class Size	Length of Course						
	4-8 hours	9-24 hours	25-40 hours	41-80 hours	81-125 hours	125-160 hours	161-200 hours
Up to 34	$150	$200	$300	$400	$600	$700	$800
35-56	$225	$300	$450	$600	$900	$1,000	$1,200
57-90	$300	$400	$600				
91-144	$400	$600	$800				

The fee for course supplies and handouts is intended to cover such items as:

- handouts
- certificates
- writing tablets
- software disks
- paper clips
- stationery
- flip charts/marking pens
- folders
- material binders
- etc.

Item Description*:* Check whether the rental fee is for "equipment, video clip, or other."

Title/Description: Identify the rented material (*e.g.,* the type of equipment, the title of the video clip, or description of any other type of material being rented).

Vendor: Identify the proposed vendor from whom the rental will be obtained (this may be used by STC staff to confirm the proposed cost of rental items).

Cost/Day*:* Enter the rental cost per day for each item.

Days*:* For each item, enter the total number of rental days required for a single presentation of this course.

Total Rentals and Handouts: If you are using the on-line RFC application process, or the EXCEL template, this figure will calculate automatically.

Additional Costs for Consumables: This is the purchase fee for any item that must be purchased for each delivery of the course. Costs for consumables will be approved by STC only if they are essential to the course presentation, and if funds approved under "Course Supplies/Handouts" are

insufficient to cover the cost. Items that might be approved under this category include such things as ammunition, bandages, books, etc. If you are using the on-line RFC application process, or the EXCEL template, this figure will be automatically posted from information entered on the next page of the application.

"Additional Costs for Consumables" will not be allowed as part of the tuition fee for items that constitute equipment or resource material routinely required by the trainee back on the job. Examples of thing that would not be approved as a "Consumables" might include:

- Handcuffs
- Books routinely required to perform job duties (*e.g.,* Penal Code)
- Duty uniforms
- Batons
- Firearms
- Etc.

STC's policy is that it is the responsibility of the employer to provide equipment and resource routinely required to perform job duties, and that such material should not be charged to STC tuition.

Note: If films, videotapes, or other equipment that would otherwise require a rental fee are provider-owned, providers may submit (via hard-copy letter) a projected use/depreciation schedule not to exceed normal rental rates computed over the expected useful life of the product. Written justification establishing that the item is essential to course delivery along with the aforementioned depreciation schedule must be submitted to STC in writing. If approved by STC, an agreed upon charge per course could be included under *"Additional Costs for Consumables"* for each course delivery until the purchase cost is fully recovered by the provider.

Costs associated with test administration in Core courses may be included under this category. The allowable amount is based on an established formula (see *Handbook for Presenting Core Training Courses*).

Staff, Total Rentals and Handouts: This is the total of all costs for the course except for training room rental and staff (instructor or on-site coordinator) travel. This figure will be automatically calculated and posted if you are using the on-line application or EXCEL.

Indirect Costs: Providers can charge up to a maximum of 25% (computed against the total entered for *Staff, Total Rentals and Handouts*). Indirects are intended to cover the following:

- program research, design, development, modification and improvement
- course development
- telephone
- copyright and royalty costs
- advertising
- office maintenance
- utilities
- office equipment/supplies
- general administration of the course and the provider's business

Course Cost Total: This is the total of all costs for the course except *training room rental/instructor travel.* This figure will calculate automatically if you are using the on-line application process, or the EXCEL template.

Room Rental/Instructor Travel: This is the total cost of training room rental fees and travel and per diem costs for staff (instructor(s) and on-site coordinator(s)). If you are using the on-line application process, or the EXCEL template, this figure will post automatically from data captured on subsequent pages.

Maximum Budget Cost: This is the total of all cost data entered for the course. It will calculate and post automatically if you are using the on-line application process, or the EXCEL template. It will also post automatically to the appropriate data field on the *Face Sheet* of the RFC application package.

Course Costs for Training Room Rental and Instructor Travel (applies to budgeted courses only)

As a general rule, trainers do not need to arrive the night before a training course that begins at 8:00 a.m. the following day. Exceptions include, but are not limited to, severe weather conditions, a one-way drive in excess of 90 minutes, inaccessibility by air, and other reasonable circumstances.

Actual costs of travel may be included for instructors and on-site coordinators in accordance with STC travel and per diem policies as follows:

General

The STC Program requires that all travel and per diem costs be documented and kept to a minimum.

Travel Costs

Costs for the use of commercial air carriers and private vehicles may be budgeted for instructors and on-site coordinators. Air travel must be coach. Private vehicle use may be budgeted at up to $.31 per mile. Travel must be by the least expensive means.

Per Diem Costs

Per Diem may be budgeted for instructors and on-site coordinators as follows:

Lodging	$84.00 plus tax
Breakfast	$6.00
Lunch	$10.00
Dinner	$18.00
Incidentals	$6.00

Meals may be reimbursed as follows:

Breakfast:	Travel must begin before 7:00 a.m. Reimbursement is not allowed if travel ends before 7:00 a.m.
Lunch:	Travel must begin before 11:00 a.m. Reimbursement is not allowed if travel ends before 1:00 p.m.
Dinner:	Travel must begin before 6:00 p.m. Reimbursement is not allowed if travel ends before 6:00 p.m.

Name: A separate set of travel costs must be entered for each individual primary instructor and on-site coordinator. If the application if being submitted via the on-line system, these names will automatically appear.

If you are filing the application via hardcopy, you will need to manually enter the name of each primary instructor. For on-site coordinator(s) enter their name and check the "on-site coordinator" so that STC can distinguish them from instructors.

Number of Full 24 Hour Period Meals and Incidentals: Based upon the instructor's departure point and the location of the course, determine, and enter the number of full 24 hour periods of per diem that will be required. If less than 24 hours will be required, leave blank and proceed to the next section.

*Additional meals for partial 24-hour periods***:** Data entered under "number of full 24-hour periods" above includes costs for three meals and incidentals. If course related travel is either less than 24 hours, or extends beyond 24 hours into a fractional portion of an additional 24 hours, then costs for one or more additional meals may be claimed.

Lodging: Number of Nights: Enter the number of nights this staff person will be required to stay in a motel/hotel for a single delivery of this course.

Rate Per Night: Enter the rate per night for lodging that will be charged as part of the course tuition calculation.

Rental Car Justification: Cost of car rental will only be authorized if no alternative exists that is less costly. For example, if the instructor is flying to the location of the training site, there is no shuttle service from the airport, and a rental car would be less costly than a taxi, then car rental would be approved.

*# of Days***:** Enter the number of days the rental car will be needed

*Rate per Day***:** Enter the full cost of the rental car (economy or compact) plus tax and fuel per day.

Private Vehicle Departure and Destination Points: Enter the departure and destination points for which a private vehicle might be used and mileage reimbursement requested.

*# Miles and $ per Mile***:** Enter the estimated total miles for which private vehicle use will be

reimbursed, and the mileage reimbursement rate.

Air Travel Departure and Destination Points: Enter the departure and destination points for air travel.

Airfare: Enter the estimated cost of airfare (coach).

Other: Enter the estimated of taxis, tolls or parking.

Subtotal and Grand Total: If you are applying on-line or using the EXCEL template, these data fields will automatically calculate.

Assurance Statement

Placing a check mark next to the assurance statement signifies that the training provider will adhere to the STC Program Policies, Procedures and regulations in course delivery, documentation, and billing; and that all information included in the Request for Certification is accurate.

Enter the name of the training provider, the name and title of the person authorized to sign in behalf of the training provider, and the date of the signature.

If a hard copy of the application is mailed to STC, it must be signed by the training provider, or by his authorized designee. A "wet signature" is not required for applications submitted via the on-line system.

Agency Sponsorship

At the conclusion of the on-line application process, training providers will be prompted to select an STC participating agency to review the course for purposes of sponsorship. Once the agency is selected, the entire *Request for Certification* package will be to the specified agency for on-line review. When the local agency "sponsors" the course, it will be automatically forwarded to STC for review and certification. When a local agency sponsors a course, they are formally representing to STC that they:

♦ have thoroughly reviewed the entire RFC for job relevance, quality, accuracy and cost-effectiveness;

♦ agree with the training provider on both course content and selection of instructor(s);

♦ agree that the line item course budget and tuition cost per participant, if approved, is acceptable (applies to budgeted courses only); and,

♦ intend to send eligible staff to the course if it is certified.

The purpose of the *sponsorship process* is to:

♦ demonstrate a need for the course;

♦ serve as an initial screening for quality and cost-effectiveness of a proposed course; and,

♦ promote a close working relationship between training providers and departments in developing needed courses.

There is no requirement that the sponsorship process be repeated for recertification unless changes in course content and objectives have occurred.

STC participating agencies acting as their own training provider are not required to fulfill the course sponsorship process.

D. Core Course Certifications—Additional Requirements

The information contained under the previous section "C" applies to both Annual and Core course certifications. Additionally, because STC specifies the curriculum and testing requirements for Core, potential core providers should also review to the STC document entitled *Handbook for Presenting Core Training Courses* and the job specific *Core Course Training Manual* (probation officer, adult corrections officer or juvenile corrections officer) for the Core course they wish to present.

E. Recertification of Courses

Because STC course certification is valid for one year, a provider must apply for recertification annually if the course will be offered again in the future. The request for recertification is submitted on line, and should be submitted prior to course expiration. The course certification is no longer valid after the course expiration date. If the certification is not renewed within 90 days following the expiration date, the course is purged from the on-line system and may not be recertified.

In preparing a request for recertification, it is important that providers perform a comprehensive review of the course, as certified, and update as needed. Changes in the law, correctional practices, or course costs may sometimes trigger subtle changes in course delivery that need to be documented as part of the recertification process.

Note: Courses that have not been presented within two calendar years of their last recertification will be deleted and purged from STC's active course database.

VI. PROCESSING OF REQUESTS FOR CERTIFICATION

STC staff review all Requests for Certification (RFC). Training providers are responsible for ensuring that the RFC is timely, complete, and in compliance with STC policies and procedures.

The first step in the review process is a screening of the RFC to ensure that all sections of the RFC are included and complete and that all deadlines have been met. The next step is to subject the RFC to a qualitative review. The following is a description of that process:

A. Qualitative Review

STC staff review the RFC to determine whether or not it meets the criteria for certification, and to ensure that the proposed training is job-related.

1. Job Relevancy

a. Annual Training Courses

The job-relatedness of training is most easily established with training that addresses the performance of specific tasks, duties, or job functions of local corrections' personnel. As course presentations begin to focus more on knowledge, and less on skills development, job-relatedness becomes more difficult to establish. Similarly, as course presentations focus more on general and/or personal skill, as opposed to skills specifically tied to tasks performed by local corrections' personnel, establishing job-relatedness becomes even more difficult.

Listed below are the types of annual training courses that might be presented for certification. They are listed in order of ease with which the job-relatedness of the training can be established:

1. Training that specifically addresses the performance of tasks, duties or job functions. This type of training teaches employees "how to do" the job.

2. Training that provides requisite background knowledge or skill for the performance of important job tasks (*e.g.,* legal update information, principles of psychology or chemistry as it relates to illegal drugs).

3. Training that puts the job, or part of the job, into a useful conceptual framework (*e.g.,* role within the criminal justice system, the history of an important job-related issue).

4. Training that addresses correctional field issues (*e.g.,* possible changes in the correctional system, future budgetary constraints).

5. Training that addresses general professional development (*e.g.,* managerial strategies, interpersonal relations in the work setting).

6. Training that addresses *general* personal skills (*e.g.,* time management).

b. Entry-Level Core Training Courses

The instructional objectives for entry-level core training courses have been empirically established and specified by STC. STC staff will inspect the RFC to ensure that the provider has included the appropriate "instructional objectives assurance statement" as part of the RFC.

c. Non Entry-Level Core Training Courses

Rationally based subject matter outlines for all non entry-level core courses (*e.g.,* supervisor, manager, and administrator core) have been established by STC. Any RFC for non entry-level core training will be reviewed to ensure that all the subject matter areas are included.

Any *Request for Certification* that fails to adhere to STC policies and procedures, does not propose training that is clearly job-related, or fails to meet the other criteria for certification, will not be certified.

Any RFC that is denied may be resubmitted with the necessary additions, modifications, or changes. The resubmission must be received by the STC not less than **30 calendar days** in advance of the first scheduled session.

VII. BILLING COMPUTATION

(applies to budgeted courses only)

Upon completion of an STC certified course, the provider is to calculate the actual cost of the course in order to compute the actual billable tuition per participant. Providers may use the optional *Invoice for Tuition* to bill departments (see Appendix A).

The following procedures must be used to compute the cost of the course and the tuition per participant. When documentation is required, the documentation must be in accordance with generally accepted accounting procedures.

A. Staff

1. Instructor and On-Site Coordinator

The *actual* cost of instruction and on-site coordination, not to exceed the amounts approved in the RFC may be charged. This amount must be the same as your actual payment to the instructor, not to exceed the approved line item. Documentation is required.

2. Clerical

The amount approved in the RFC for clerical support is based upon an established formula, and may be charged without additional documentation.

B. Course Supplies and Operating Expenses

1. Course Supplies/Handouts

The amount approved in the RFC is based upon an established formula and may be charged without additional documentation.

2. Training Aids/Equipment Rental

Actual costs for equipment, video clips, or other rental equipment, may be charged, not to exceed the amount approved in the RFC. Documentation is required.

3. Costs for Consumables

Actual costs for "course consumables" may be charged, not to exceed the amount approved in the RFC. Documentation is required. STC approved costs for testing in Core courses may be included under this category. The amount approved in the RFC is based on an established formula and may be charged without additional documentation (see *Handbook for Presenting Core Training Courses*).

C. Indirect Costs

Providers may charge up to 25% of the Staff, Supplies and Operating Expenses for indirect costs, not to exceed the dollar amount in the approved RFC. Documentation for indirect costs is not required.

D. Training Room Rental

The actual cost for Training Room Rental, not to exceed the amount approved in the RFC, may be charged. Documentation is required.

E. Course Staff Travel (instructor and on-site coordinator)

The actual cost for instructor and on-site coordinator travel and per diem, not to exceed the amount approved in the RFC, may be charged in accordance with STC Travel Policies (see Section V). Documentation is required.

F. Billing

1. Private Provider Billing Calculation

To calculate tuition per participant, first determine *the actual costs* of the course, *not to exceed each approved maximum line-item amount.* Then divide total course costs by the approved minimum class size to determine the tuition per participant. *The total revenue a training provider may collect for a course is limited to this tuition amount multiplied by the actual number of participants up to the approved maximum class size.* **This includes all participants in a course paying tuition from STC or non-STC funds.**

If the class size exceeds the approved maximum class size, the tuition charged must be reduced proportionately for all participants.

As an illustration, the following is an example of how to calculate the tuition to be billed:

Course Budget Line Item	Billing Computation Method	Maximum Approved RFC	Actual Cost Actual
Staff			
Instructors	Actual	$280	$240
On-Site Coordinator	Actual	0	0
Clerical Support	Approved Formula	$80	$80
Supplies & Operating Expenses			
Course Supplies/Handouts	Approved Formula	$150	$150
Training Aids/Equipment Rental	Actual	$110	$98
Costs for Consumables	Actual	$15	$10
Indirect Costs - Up to 25% of the above		**$158.75**	**$144.50**
Training Room Rental	Actual	$125	$100
Course Staff Travel	Actual	$356	$325
	TOTAL	**$1,274.75**	**$1,147.50** (use this figure)

Actual Course Cost $1,147.50 divided by the Approved Minimum Class Size 16 = Tuition per Trainee $71.22 for billing.

Approved Maximum Class Size 20 x Tuition Per Person $71.72 = $1,434.40

which is the <u>maximum private provider billable amount if 20 persons attended.</u>

If the class size in this example exceeded 20, the total amount of tuition collected from STC and non-STC participants could not exceed $1,434.40 and the tuition per person would be reduced accordingly.

If less than 20 attended, the maximum billable would be $71.72 x *actual* number of participants. So, if only 12 people attended, the billable amount would be $71.72 x 12 = $860.64.

When a course offering <u>exceeds</u> the approved maximum class size, training providers may additionally charge actual costs for those items used per trainee (*e.g.,* canisters, bandages, ammunition etc.). These costs cannot exceed the approved cost per participant in the original certification request. The actual costs of such items must be documented. Under these circumstances, a *Notice of Change Form* is not required.

2. Departmental Training Provider Billing Calculation

Departmental training providers may only collect tuition from the actual number of STC eligible trainees. *The total tuition collected may not exceed the actual costs of presenting the course.* Using the billing example under Section F, the most a departmental training provider could recover for the course would be $1,147.50 (This represents the actual cost of presenting the course).

Departmental training providers may charge tuition costs to another department when the other department's STC eligible staff attend certified training courses. This decision is left to the discretion of participating departments. However, if departmental training providers charge tuition to other departments for a course, then the revenue must be used to abate the actual cost of course delivery.

3. Fiscal Risks and Departments Responsibility to Private Providers

The fiscal risk that a private provider takes is directly related to the actual number of participants that attend. If less than the approved minimum class size attend, the provider may not be able to cover the related costs. STC policy requires departments to notify the training provider of canceled enrollments a minimum of fifteen calendar days prior to the course. If a department has enrolled participants in a certified course and these participants do not attend the course, the provider may charge the department the cost of that tuition.

If an emergency occurs which prevents a participant from attending, the training manager should advise the provider immediately.

When departments enroll participants in an STC certified course, they incur an obligation to the provider. The terms and conditions of this obligation are negotiable between the department and the provider. The provider may require written confirmation of enrollment. Also, a provider may require a nonrefundable deposit that will be applied to the tuition costs for those who attend the course. However, this deposit cannot exceed the maximum course cost.

G. Invoice for Tuition

Providers may use the optional STC Invoice for Tuition when charging departments for the tuition costs of STC participants. Refer to Appendix A.

VIII. NON-CLASSROOM COSTS

A. Application

On rare occasions, there may be a need for approval of costs incurred outside of the actual classroom setting. This may occur in a very specialized course that addresses unusual circumstances and results in a one-time only course offering. An example may be the need to interview all participants, analyze and assemble the data, and present a report prior to the course. In these situations the training provider, prior to submission of the RFC, should contact the STC Field Representative. The STC Field Representative will confer with the provider and the department requesting the training to discuss the course and the need for these costs. Any non-classroom costs that are incurred prior to approval of the RFC will not be allowed.

If non-classroom hour costs are requested, the following fiscal limits are applicable:

♦   A maximum of $50.00 per hour for non-classroom hour instructor costs may be charged;

♦   The number of non-classroom instructor charged may not exceed the actual number of certified classroom;

♦   Non-classroom hourly costs cannot be included as a factor when computing indirect costs;

♦   STC may approve actual travel and per diem costs directly associated with non-classroom activity. If approved, these costs may be charged consistent with STC Travel Policies (refer to Section V).

The costs associated with non-classroom work (instructor's fee, travel and per diem) should be detailed in a letter (hard-copy) submitted at the same time as the RFC. These costs should not be added to the course costs nor calculated as part of the tuition fee. The costs will be considered separately.

The letter must include written justification for these costs, co-signed by the provider and the departmental administrator. It should address the following issues:

♦   the one-time, unique nature of the course;

♦   the need for the non-classroom in relationship to the course to be provided;

♦   the expected organizational outcomes

♦   the work to be done outside of the classroom, with a work plan and time schedule detailed hour-for-hour.

The time involved in any non-classroom activity will not be credited to participants in the

computation of the total certified course.

B. Billing

Any invoice for non-classroom must show the:

♦ total maximum non-classroom hour costs as approved by STC;

♦ total actual costs incurred for non-classroom (actual costs may not exceed approved costs); and

♦ cost per participant (this is derived by dividing the actual costs incurred for non-classroom by the actual number of participants).

Documentation is required for non-classroom hour instructor costs, travel, and per diem.

IX. RECORD KEEPING REQUIREMENTS

A. Course Records

1. Required for Departments

Not more than 30 days following delivery of the course, the provider must send a copy of the typed or printed Course Roster signed by the trainees or the course certificate(s) to the appropriate participating department's training manager. If a test is administered, the test results for each participant should also be sent to the participant's department. Providers should mail these records to departments with an invoice for tuition.

2. Required for STC Program

Not more than 30 days following delivery of the course, the provider just send the following documents to STC:*:*

- the <u>original</u> typed or printed Course Roster signed by each trainee, and by the training provider;
- a *Course Evaluation Form* completed by each trainee attending the course.

B. Accounting Records (applies to budgeted courses only)

A provider *must* maintain adequate accounting records in accordance with generally accepted accounting principles. *The records must provide an audit trail that will permit tracing of transactions from support documentation to accounting records, financial reports, and billings.*

Documentation is required for:

- ♦ The actual cost of instruction and on-site coordination

- ♦ The actual costs of training aids/equipment rental, and "one-time costs"

- ♦ Training room rental

- ♦ Instructor and on-site coordinator travel and per diem

- ♦ Non-classroom costs, if requested by the provider and approved by STC

APPENDIX A

STANDARDS AND TRAINING FOR CORRECTIONS PROGRAM
INVOICE FOR TUITION

See the *Policies and Procedures Manual for Training Providers*, Billing Computation, Section 7.

1. Course Title: 2. Certification Number:

3. Date Completed: 4. Location:

5. Approved Min/Max Class Size: /   6. Maximum Approved Tuition: $
                                                        (as certified)

7. Actual Allowable Course Costs: $

8. Actual Allowable Room Rental/Course Travel Costs: $

9. Actual Total Budget Costs: **TOTAL** $

10.   Total number of participants charged for this course is:

11.   Tuition per person (#9 divided by minimum class size): $ *

12.   Number of participants from department:

13.   Total tuition cost for department: $

Please remit the payment listed in Item 13 to the address indicated below

_____
Authorized Signature

_____
Training Provider's Name

Address

City   State   Zip

(   )
Telephone Number

*If class size <u>exceeds</u> the approved maximum class size (#5), the billable tuition per trainee (#11) is computed by the following formula:

<div align="center">

Tuition Per Person (#11)

X

Approved Maximum Class Size (#5)

÷

Number of Participants Charged (#10)

=

Billable Tuition Per Trainee

</div>

APPENDIX B

FREQUENTLY REQUESTED
DOCUMENTS AND FORMS

STC has a large number of reference documents and forms designed to aid participating corrections departments and training providers in implementing the STC Program. The majority of these documents are available via the CSA Website: www.csa.ca.gov.

If you don't find what you are looking for on our Web Site, please contact your assigned Field Representative, or call CSA's main phone number (916) 445-5073 for assistance.

Following is a list of the most frequently requested documents and forms.

Reference Documents	Forms
STC Manual for Participating Departments	Course Evaluation Form (regular RFC)
STC Manual for Training Providers	Course Roster (regular RFC)
STC Directory	Sample Invoice for Tuition
STC Regulations, Title 15 CCR	
Guidelines for Writing Instructional Objectives	
Handbook for Presenting Core Courses	
Guidelines on Test Item Writing	
Core Training Manual-Adult Corrections Officer	
Core Training Manual-Juvenile Corrections Officer	
Core Training Manual-Probation Officer	
Lesson Plan Development for Core Courses	
Testing in Core Courses	
STC Directory	
Course Catalog and Calendar	